

10-18-01

A

For Other Than A Small Entity

Docket No. CF/040

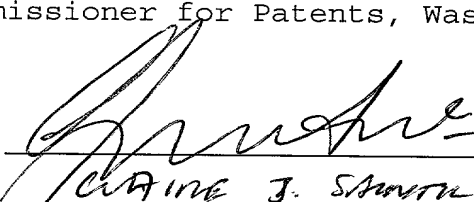
Applicants : Andrew C. Gilbert and Andrew Stergiopoulos  
For : SYSTEMS AND METHODS FOR BID/OFFER SPREAD  
TRADING

EXPRESS MAIL CERTIFICATION

"Express Mail" mailing label number EK708046957US.

Date of Deposit October 17, 2001.

I hereby certify that this transmittal letter and the other papers and fees identified in this transmittal letter as being transmitted herewith are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to the Hon. Commissioner for Patents, Washington, D.C. 20231.

  
CATHERINE J. SHUMAN

New York, New York 10020

Hon. Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR  
ORIGINAL PATENT APPLICATION

Sir:

Transmitted herewith for filing are the  
[X] specification; [X] claims; [X] abstract; and  
[X] unexecuted declaration and power of attorney,  
for the above-identified patent application.

Express Mail Label  
No. EK708046957US

JC682 U.S. PTO  
10/17/01

J1050 U.S. PTO  
09/981565  
10/17/01

09981565 10/17/01

Also transmitted herewith are:

☒ Thirteen (13) sheets of:

☐ Formal drawings.

☒ Informal drawings. Formal drawings will be filed during the pendency of this application.

☐ Certified copy(ies) of application(s)

\_\_\_\_\_  
(country) (appln. no.) (filed)

from which priority is claimed.

☐ An assignment of the invention to \_\_\_\_\_.

☐ A check in the amount of \$40.00 to cover the recording fee.

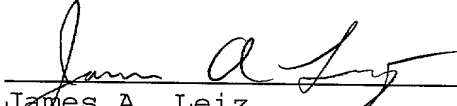
☐ Please charge \$40.00 to Deposit Account No. \_\_\_\_\_ in payment of the recording fee. A duplicate copy of this transmittal letter is transmitted herewith.

☐ An information disclosure statement, a form PTO-1449, and cited references.

The filing fee has been calculated as shown below:

FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
BASIC FEE				\$ 740.00
TOTAL CLAIMS	26 - 20 = 6	x \$18 =		\$ 108.00
INDEPENDENT CLAIMS	2 - 3 = 0	x \$84 =		\$ 0
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS		+ \$280 =		\$ 0
TOTAL				<u>\$ 848.00</u>

- [X] A check in the amount of \$848.00 in payment of the filing fee is transmitted herewith.
- [ ] Please charge \$\_\_\_\_\_ to Deposit Account No. 06-1075 in payment of the filing fee. A duplicate copy of this transmittal letter is transmitted herewith.
- [ ] This application is being filed unaccompanied by a filing fee. The appropriate filing fee will be paid in response to a Notice to File Missing Parts, pursuant to 37 C.F.R. § 1.53(f).
- [X] The Director is hereby authorized to charge payment of any additional filing fees required under 37 C.F.R. § 1.16, in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.

  
James A. Leiz  
Registration No. 46,109  
Agent for Applicants  
FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
PATENT APPLICATION

Applicants : Andrew C. Gilbert and Andrew Stergiopoulos  
Filed : Filed Herewith  
For : SYSTEMS AND METHODS FOR BID/OFFER SPREAD TRADING

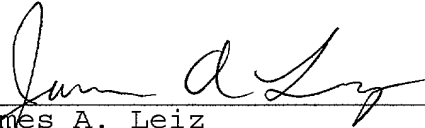
Hon. Commissioner for Patents  
Washington, D.C. 20231

NONPUBLICATION REQUEST  
UNDER 37 C.F.R. § 1.213(a)

Sir:

Pursuant to 37 C.F.R. § 1.213(a), applicants hereby request that the above-identified patent application, which is being filed concurrently herewith, not be published under 35 U.S.C. § 122(b). It is hereby certified that the invention disclosed in the application has not been and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

Respectfully submitted,

  
James A. Leiz  
Registration No. 46,109  
Agent for Applicants  
FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000